

FINRA Code for 17-01857 on Feb 4, 2021

```
<html lang="en" dir="ltr" prefix="content: http://purl.org/rss/1.0/modules/content/ dc:
http://purl.org/dc/terms/ foaf: http://xmlns.com/foaf/0.1/ og: http://ogp.me/ns# rdfs:
http://www.w3.org/2000/01/rdf-schema# schema: http://schema.org/ sioc:
http://rdfs.org/sioc/ns# sioc: http://rdfs.org/sioc/types# skos:
http://www.w3.org/2004/02/skos/core# xsd: http://www.w3.org/2001/XMLSchema#">
<head>
  <!-- Google Tag Manager -->
  <script>(function(w,d,s,l,i){w[l]=w[l]||[];w[l].push({'gtm.start':
    new Date().getTime(),event:'gtm.js'});var f=d.getElementsByTagName(s)[0],
    j=d.createElement(s),dl=l!='dataLayer'?'&l='+l:'';j.async=true;j.src=
    'https://www.googletagmanager.com/gtm.js?id='+i+dl;f.parentNode.insertBefore(j,f);
  })(window,document,'script','dataLayer','GTM-PX5XDBN');</script>
  <!-- End Google Tag Manager -->
  <script defer src="//cdn.jsdelivr.net/bluebird/3.5.0/bluebird.min.js"></script>
  <script defer src="https://cdnjs.cloudflare.com/ajax/libs/fetch/2.0.3/fetch.js"></script>
  <meta charset="utf-8" />
  <link rel="canonical" href="https://www.finra.org/arbitration-mediation/arbitration-awards-
  online" />
  <meta name="google-site-verification"
  content="p6aFpyERRdC4Ror_K0mTRRtXKjAsz35RTQI_MDv_nNg" />
  <meta name="Generator" content="Drupal 8 (https://www.drupal.org)" />
  <meta name="MobileOptimized" content="width" />
  <meta name="HandheldFriendly" content="true" />
  <meta name="viewport" content="width=device-width, initial-scale=1, shrink-to-fit=no" />
  <meta http-equiv="x-ua-compatible" content="ie=edge" /><script
  type="text/javascript">(window.NREUM||(NREUM={})).loader_config={licenseKey:"d7b6
  64b4b4", applicationID:"486102969"};window.NREUM||(NREUM={}).__nr_require=functio
  n(e,t,n){function r(n){if(!t[n]){var i=t[n]={exports:{}};e[n][0].call(i.exports,function(t){var
  i=e[n][1][t];return r(i||t),i,i.exports)}return t[n].exports}if("function"===typeof
  __nr_require)return __nr_require;for(var i=0;i<n.length;i++)r(n[i]);return
  r}({1:[function(e,t,n){function r(n){function i(e,t,n){return function(){return
  o(e,[u.now()].concat(c(arguments)),t?null:this,n),t?void 0:this}}var
  o=e("handle"),a=e(6),c=e(7),f=e("ee").get("tracer"),u=e("loader"),s=NREUM,"undefined"=
  =typeof window.newrelic&&(newrelic=s),var
  d=["setPageViewName","setCustomAttribute","setErrorHandler","finished","addToTrace",
  "inlineHit","addRelease"],p="api-",l=p+"ixn-
  ";a(d,function(e,t){s[t]=i(p+t,!0,"api")}),s.addPageAction=i(p+"addPageAction",!0),s.setCu
  rrentRouteName=i(p+"routeName",!0),t.exports=newrelic,s.interaction=function(){return(
  new r).get()};var m=r.prototype={createTracer:function(e,t){var
  n={},r=this,i="function"===typeof t;return
  o(l+"tracer",[u.now(),e,n],r),function(){if(f.emit((i?"":"no-")+"fn-
  start",[u.now(),r,i],n),i)try{return t.apply(this,arguments)}catch(e){throw f.emit("fn-
  err",[arguments,this,e],n),e}finally{f.emit("fn-
  end",[u.now(),n])}};a("actionText",setName,setAttribute,save,ignore,onEnd,getContext,e
  nd,get).split(","),function(e,t){m[t]=i(l+t)}),newrelic.noticeError=function(e,t){"string"===type
  of e&&(e=new Error(e)),o("err",[e,u.now(),!1,t]),{}},2:[function(e,t,n){function r(n){return
  c.exists&&performance.now?Math.round(performance.now()):(o=Math.max((new
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Date).getTime(),o))-a}function i(){return o}var o=(new
Date).getTime(),a=o,c=e(8);t.exports=r,t.exports.offset=a,t.exports.getLastTimestamp=i},
{}],3:[function(e,t,n){function r(e,t){var n=e.getEntries();n.forEach(function(e){"first-
paint"===e.name?d("timing",["fp",Math.floor(e.startTime)]):"first-contentful-
paint"===e.name&&d("timing",["fcp",Math.floor(e.startTime)])}}function i(e,t){var
n=e.getEntries();n.length>0&&d("lcp",[n[n.length-1]])}function
o(e){e.getEntries().forEach(function(e){e.hadRecentInputId("cls",[e])})}function a(e){if(e
instanceof m&&!g){var
t=Math.round(e.timeStamp),n={type:e.type};t<=p.now()?n.fid=p.now()-
t:t>p.offset&&t<=Date.now()?(t=p.offset,n.fid=p.now()-
t):t=p.now(),g=!0,d("timing",["fi",t,n])}function c(e){d("pageHide",[p.now(),e])}if(!("init"in
NREUM&&"page_view_timing"in NREUM.init&&"enabled"in
NREUM.init.page_view_timing&&NREUM.init.page_view_timing.enabled===!1)){var
f,u,s,d=e("handle"),p=e("loader"),l=e(5),m=NREUM.o.EV;if("PerformanceObserver"in
window&&"function"===typeof window.PerformanceObserver){f=new
PerformanceObserver(r);try{f.observe({entryTypes:["paint"]})}catch(v){u=new
PerformanceObserver(i);try{u.observe({entryTypes:["largest-contentful-
paint"]})}catch(v){s=new PerformanceObserver(o);try{s.observe({type:"layout-
shift",buffered:!0})}catch(v){if("addEventListener"in document){var
g=!1,w=["click","keydown","mousedown","pointerdown","touchstart"];w.forEach(function(e
){document.addEventListener(e,a,!1)})}(c)},{}},4:[function(e,t,n){function
r(e,t){if(!i)return!1;if(e!==i)return!1;if(!t)return!0;if(!o)return!1;for(var
n=o.split("."),r=t.split("."),a=0;a<r.length;a++)if(r[a]!==n[a])return!1;return!0}var
i=null,o=null,a=/VersionV(\S+)\s+Safari/;if(navigator.userAgent){var
c=navigator.userAgent,f=c.match(a);f&&c.indexOf("Chrome")===-
1&&c.indexOf("Chromium")===-
1&&(i="Safari",o=f[1])}t.exports={agent:i,version:o,match:r}},{}},5:[function(e,t,n){function
r(e){function
t(){e(a&&document[a]?document[a]:document[i]?"hidden":"visible"))"addEventListener"in
document&&o&&document.addEventListener(o,t,!1)}t.exports=r;var
i,o,a;"undefined"!==typeof
document.hidden?(i="hidden",o="visibilitychange",a="visibilityState"):"undefined"!==typeof
document.msHidden?(i="msHidden",o="msvisibilitychange"):"undefined"!==typeof
document.webkitHidden&&(i="webkitHidden",o="webkitvisibilitychange",a="webkitVisibilit
yState")},{}},6:[function(e,t,n){function r(e,t){var n=[],r="",o=0;for(r in
e)i.call(e,r)&&(n[o]=t(r,e[r]),o+=1);return n}var
i=Object.prototype.hasOwnProperty;t.exports=r},{}},7:[function(e,t,n){function
r(e,t,n){tll(t=0),"undefined"===typeof n&&(n=e?e.length:0);for(var r=-1,i=n-
tll0,o=Array(i<0?0:i);++r<i;)o[r]=e[t+r];return
o}t.exports=r},{}},8:[function(e,t,n){t.exports={exists:"undefined"!==typeof
window.performance&&window.performance.timing&&"undefined"!==typeof
window.performance.timing.navigationStart}},{}},ee:[function(e,t,n){function r(){function
i(e){function t(e){return e&&e instanceof r?e:e?u(e,f,a):a()}function
n(n,r,i,o,a){if(a===!1&&(a=!0),!l.aborted!llo){e&&a&&e(n,r,i);for(var
c=t(i),f=v(n),u=f.length,s=0;s<u;s++)f[s].apply(c,r);var p=d[h[n]];return
p&&p.push([b,n,r,c]),c}function o(e,t){y[e]=v(e).concat(t)}function m(e,t){var
n=y[e];if(n)for(var r=0;r<n.length;r++)n[r]===t&&n.splice(r,1)}function v(e){return
y[e]||[]}function g(e){return p[e]=p[e]||i(n)}function
w(e,t){s(e,function(e,n){t=tll"feature",h[n]=t,t in dll(d[t]=[])})}var

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y={},h={},b={on:o,addEventListener:o,removeEventListener:m,emit:n,get:g,listeners:v,co
nnext:t,buffer:w,abort:c,aborted:!1};return b}function o(e){return u(e,f,a)}function a(){return
new r}function c(){(d.apilld.feature)&&(l.aborted=!0,d=l.backlog={})}var
f="nr@context",u=e("gos"),s=e(6),d={},p={},l=t.exports=i();t.exports.getOrSetContext=o,l
backlog=d},{},gos:[function(e,t,n){function r(e,t,n){if(i.call(e,t))return e[t];var
r=n();if(Object.defineProperty&&Object.keys)try{return
Object.defineProperty(e,t,{value:r,writable:!0,enumerable:!1}),r}catch(o){}return
e[t]=r,r}var
i=Object.prototype.hasOwnProperty;t.exports=r},{},handle:[function(e,t,n){function
r(e,t,n,r){i.buffer([e],r),i.emit(e,t,n)}var
i=e("ee").get("handle");t.exports=r,r.rr=i},{},id:[function(e,t,n){function r(e){var t=typeof
e;return!ell"object"!==t&&"function"!==t?-1:e===window?0:a(e,o,function(){return
i++})}var i=1,o="nr@id",a=e("gos");t.exports=r},{},loader:[function(e,t,n){function
r(){if(!x++){var
e=b.info=NREUM.info,t=p.getElementsByTagName("script")[0];if(setTimeout(u.abort,3e4
),!(e&&e.licenseKey&&e.applicationID&&t))return
u.abort();f(y,function(t,n){e[t]||(e[t]=n));var
n=a();c("mark",["onload",n+b.offset],null,"api"),c("timing",["load",n]);var
r=p.createElement("script");r.src="https://"+e.agent,t.parentNode.insertBefore(r,t)}function
n i){{"complete"===p.readyState&&o()}function
o){c("mark",["domContentLoaded",a()+b.offset],null,"api")}var
a=e(2),c=e("handle"),f=e(6),u=e("ee"),s=e(4),d=window,p=d.document,l="addEventListe
ner",m="attachEvent",v=d.XMLHttpRequest,g=v&&v.prototype;NREUM.o={ST:setTimeo
ut,SI:d.setImmediate,CT:clearTimeout,XHR:v,REQ:d.Request,EV:d.Event,PR:d.Promise,
MO:d.MutationObserver};var w="" +location,y={beacon:"bam.nr-
data.net",errorBeacon:"bam.nr-data.net",agent:"js-agent.newrelic.com/nr-
1194.min.js"},h=v&&g&&g[l]&&!/CriOS/.test(navigator.userAgent),b=t.exports={offset:a.g
etLastTimestamp(),now:a,origin:w,features:{},xhrWrappable:h,userAgent:s};e(1),e(3),p[l]
?(p[l]("DOMContentLoaded",o,!1),d[l]("load",r,!1)):(p[m]("onreadystatechange",i),d[m]("on
load",r)),c("mark",["firstbyte",a.getLastTimestamp()],null,"api");var x=0},{},"wrap-
function":[function(e,t,n){function r(e,t){function n(t,n,r,f,u){function nrWrapper(){var
o,a,s,p;try{a=this,o=d(arguments),s="function"===typeof
r?r(o,a):rl{}}catch(l){i([l,"",[o,a,f],s],e)}c(n+"start",[o,a,f],s,u);try{return
p=t.apply(a,o)}catch(m){throw
c(n+"err",[o,a,m],s,u),m}finally{c(n+"end",[o,a,p],s,u)}}return
a(t)?t:(nll(n=""),nrWrapper[p]=t,o(t,nrWrapper,e),nrWrapper)}function
r(e,t,r,i,o){rl(r="");var c,f,u,s="-
"===r.charAt(0);for(u=0;u<t.length;u++)f=t[u],c=e[f],a(c)ll(e[f]=n(c,s?f+r:r,i,f,o))}function
c(n,r,o,a){if(!mllt){var c=m;m=!0;try{e.emit(n,r,o,t,a)}catch(f){i([f,n,r,o],e)}m=c}}return
ell(e=s),n.inPlace=r,n.flag=p,n}function i(e,t){tll(t=s);try{t.emit("internal-
error",e)}catch(n){}}function o(e,t,n){if(Object.defineProperty&&Object.keys)try{var
r=Object.keys(e);return
r.forEach(function(n){Object.defineProperty(t,n,{get:function(){return
e[n]},set:function(t){return e[n]=t,t}})},t}catch(o){i([o,n])}for(var a in
e)l.call(e,a)&&(t[a]=e[a]);return t}function a(e){return!(e&&e instanceof
Function&&e.apply&&le[p])}function c(e,t){var n=t(e);return n[p]=e,o(e,n,s),n}function
f(e,t,n){var r=e[t];e[t]=c(r,n)}function u(t){for(var e=arguments.length,t=new
Array(e),n=0;n<e;++n)t[n]=arguments[n];return t}var
s=e("ee"),d=e(7),p="nr@original",l=Object.prototype.hasOwnProperty,m=!1;t.exports=r,t.

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exports.wrapFunction=c,t.exports.wrapInPlace=f,t.exports.argsToArray=u},{},{},{"loader"
]);</script>
<link rel="shortcut icon" href="/themes/custom/finra_bootstrap_sass/favicon.ico"
type="image/vnd.microsoft.icon" />
```

```
<title>Arbitration Awards Online | FINRA.org</title>
```

```
<link rel="stylesheet" media="all"
href="/sites/default/files/css/css_DGGfNZmObybGUOWeGNZgnUn09EJ9z1WPf7u9M6
w2Dak.css" />
<link rel="stylesheet" media="all"
href="https://use.fontawesome.com/releases/v5.7.2/css/all.css" />
<link rel="stylesheet" media="all"
href="https://use.fontawesome.com/releases/v5.7.2/css/v4-shims.css" />
<link rel="stylesheet" media="all"
href="/sites/default/files/css/css_ogeJDjVU0c6GRBoi4K5a1cl81rMK-
jZBjPKsqR7saCs.css" />
<link rel="stylesheet" media="all"
href="/sites/default/files/css/css_pT7EdiDiu5X6MaeqVQw1bnX46bbgISikkDcmcX6t6SA.
css" />
<link rel="stylesheet" media="all" href="//fonts.googleapis.com/css?family=Open+Sans"
/>
<link rel="stylesheet" media="all"
href="//fonts.googleapis.com/css?family=Open+Sans:300,300i,400,400i,600,600i,700,70
0i,800,800i" />
<link rel="stylesheet" media="all" href="//use.typekit.net/nba4hvp.css" />
<link rel="stylesheet" media="all"
href="/sites/default/files/css/css_0l9ySWqZFCfKPx03nbS0SiDit5vroSR5R1QV42HExGE
.css" />
```

```
<!--[if lte IE 8]>
<script
src="/sites/default/files/js/js_VtafjXmRvoUgAzqzYTA3WrjKx9wcWhjP0G4ZnnqRamA.js"
></script>
<![endif]-->
```

```
</head>
<body class="layout-one-sidebar layout-sidebar-first page-view-aao-views">
<!-- Google Tag Manager (noscript) -->
<noscript><iframe src="https://www.googletagmanager.com/ns.html?id=GTM-
PX5XDBN"
height="0" width="0"
style="display:none;visibility:hidden"></iframe></noscript>
<!-- End Google Tag Manager (noscript) -->
<a href="#main-content" class="visually-hidden focusable">
Skip to main content
</a>
```

```
<div class="dialog-off-canvas-main-canvas" data-off-canvas-main-canvas>
```

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<div id="page-wrapper">
<div id="page">
  <section class="row region region-top-banner">
    <div id="block-topbanner" data-block-plugin-id="block_content:9cf5d16b-c288-4bf1-
88eb-9cea1541d1ca" class="block block-block-content block-block-content9cf5d16b-
c288-4bf1-88eb-9cea1541d1ca">

      <div class="content">

        <div class="clearfix text-formatted field field--name-body field--type-text-with-
summary field--label-hidden field__item"><p>For updates and guidance related to
COVID-19 / Coronavirus, click <a href="/rules-guidance/key-topics/covid-
19">here</a>.</p>
      </div>

    </div>
  </div>
</section>

  <header id="FINRA_header" class="header" role="banner" aria-label="Site
header">

    <div class="collapse" id="search-form">
      <div class="header-form">
        <div class="row">
          <div class="col-lg-3">
            <section class="region region-header">
              <a href="/" title="Home" rel="home" class="navbar-brand">
                
              </a>
            </section>

          </div>
          <div class="search search-close col d-flex justify-content-end">
            <button class="search-btn" type="button" data-toggle="collapse" data-
target="#search-form" aria-expanded="false" aria-controls="search-form">
              <i class="fa fa-times fa-2x" aria-hidden="true"></i>
            </button>
          </div>
        </div>
      </div>
    </div>
    <div class="row">
      <div class="col">
        <section class="region region-search">

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```
<div class="views-exposed-form bef-exposed-form block block-views block-views-
exposed-filter-blocksearch-finra-page-1" data-bef-auto-submit-full-form="" data-drupal-
selector="views-exposed-form-search-finra-page-1" id="block-exposedformsearch-
finrapage-1" data-block-plugin-id="views_exposed_filter_block:search_finra-page_1">
```

```
<div class="finra-container">
<div class="content">
```

```
<form action="/search" method="get" id="views-exposed-form-search-finra-page-1"
accept-charset="UTF-8">
<div class="form-row">
```

```
<fieldset class="js-form-item js-form-type-textfield form-type-textfield js-form-item-
search-api-fulltext form-item-search-api-fulltext form-group">
<label for="edit-search-api-fulltext">Fulltext search</label>
<input data-bef-auto-submit-exclude="" data-drupal-selector="edit-search-
api-fulltext" type="text" id="edit-search-api-fulltext" name="search_api_fulltext" value=""
size="30" maxlength="128" placeholder="Search FINRA.org" class="form-text form-
control" />
```

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</fieldset>
```

```
<fieldset class="js-form-item js-form-type-select form-type-select js-form-item-c-field-
core-content-type-tax form-item-c-field-core-content-type-tax form-group">
<label for="edit-c-field-core-content-type-tax">Type</label>
```

```
<select class="multiselect form-select form-control custom-seclect-style" data-drupal-
selector="edit-c-field-core-content-type-tax" multiple="multiple"
name="c_field_core_content_type_tax[]" id="edit-c-field-core-content-type-tax"
size="9"><option value="148736">2017 Exam Findings Report</option><option
value="148741">2018 Exam Findings Report</option><option value="150691">2019
Exam Findings Report</option><option value="151226">2021 Report on FINRA&#039;s
Examination and Risk Monitoring Program</option><option value="3750">A Few
Minutes With FINRA</option><option value="4825">About FINRA</option><option
value="3749">Annual Regulatory and Examination Priorities Letters</option><option
value="4827">Arbitration and Mediation</option><option value="4828">Blog
Post</option><option value="3748">Board of Governors Meeting</option><option
value="148721">Careers</option><option value="3744">Communications to
Firms</option><option value="3662">Compliance Tools</option><option
value="4899">Conference Call</option><option value="4921">Content
Outline</option><option value="4068">Continuing Education</option><option
value="19">Disciplinary Action Report</option><option value="1685">Election
Notice</option><option value="4084">Email to Firms</option><option
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value="165">Events & Training</option><option value="4315">Exemptive Letter</option><option value="176">FAQ</option><option value="4085">Filing and Reporting</option><option value="4082">Financial Reports</option><option value="4879">FINRA's Financial Guiding Principles</option><option value="4900">FINRA360 Progress Report</option><option value="3631">Form</option><option value="3751">From Small Firm Advisory Board (SFAB)</option><option value="3745">Get Involved</option><option value="1709">Guidance</option><option value="4071">Hide From What's New</option><option value="1761">Information Notice</option><option value="4316">Interpretive Letter</option><option value="242">Investor Alert</option><option value="8">Investor Education</option><option value="4619">Investor Highlights</option><option value="150651">Investor Insights</option><option value="4096">Key Topic</option><option value="148746">Manage Your Career</option><option value="3630">Media Center</option><option value="209">Monthly Disciplinary Actions</option><option value="464">Neutral Corner</option><option value="227">News Release</option><option value="223">Notice</option><option value="3684">Notice to Members</option><option value="148726">Oversight & Enforcement</option><option value="270">Podcast</option><option value="150996">Protecting Senior Investors 2015-2020</option><option value="447">Publication</option><option value="3627">Qualification Exam</option><option value="128">Quarterly Disciplinary Review</option><option value="4069">Registration</option><option value="462">Regulatory and Compliance Alerts (RCA)</option><option value="1700">Regulatory Notice</option><option value="118">Report / Study</option><option value="148731">Report Card</option><option value="671">Request for Comment</option><option value="61">Rule</option><option value="160">Rule Filing</option><option value="4541">Special Notice</option><option value="74">Speech / Testimony</option><option value="3737">Targeted Examination Letter</option><option value="4531">Technical Documentation</option><option value="4529">Technical Notice</option><option value="4561">The Alert Investor</option><option value="1915">Trade Reporting Notice</option><option value="238">Training</option><option value="4910">User Guide</option><option value="4083">Video</option><option value="150906">Virtual Conference Panel</option><option value="296">Webinar</option></select>

</fieldset>

<fieldset class="js-form-item js-form-type-select form-type-select js-form-item-c-field-core-topic form-item-c-field-core-topic form-group">

<label for="edit-c-field-core-topic">Topic</label>

<select class="multiselect form-select form-control custom-select-style" data-drupal-selector="edit-c-field-core-topic" multiple="multiple" name="c_field_core_topic[]" id="edit-c-field-core-topic" size="9"><option value="1">401(k)</option><option value="102">403(b)</option><option value="178">457</option><option value="135">529 Prepaid Tuition Plans</option><option value="212">529 Savings Plans</option><option value="150606">Accounts At Other Broker Dealers and Financial

Institutions</option><option value="251">Advertising Regulation</option><option value="284">Agency Bonds</option><option value="4183">Algorithmic Trading</option><option value="31">Alternative and Complex Products</option><option value="201">Alternative Display Facility (ADF)</option><option value="148761">Annual Audit</option><option value="64">Anti-Money Laundering</option><option value="146">Arbitration and Mediation</option><option value="134">Asset Backed Securities</option><option value="196">Auction Rate Securities</option><option value="4978">Back testing</option><option value="66">Bank Products</option><option value="4449">Best Execution</option><option value="83">Best Practices</option><option value="4564">Block Chain / Distributed Ledger Technology</option><option value="4446">Blue Sheets</option><option value="241">Bond Funds</option><option value="5019">Bond Mutual Fund Volatility/Risk Rating</option><option value="32">Bonds</option><option value="2">Books and Records</option><option value="4959">Branch Offices</option><option value="30">Breakpoints</option><option value="3602">Broker Dealer Registration</option><option value="4468">Broker Migration</option><option value="4445">Broker-Dealer Recruitment Disclosures</option><option value="4940">Brokerage</option><option value="268">BrokerCheck</option><option value="4970">Business Cards</option><option value="240">Business Continuity Planning</option><option value="4980">Business Development Company (BDC)</option><option value="4533">Capital Acquisition Brokers</option><option value="4942">Capital Formation</option><option value="4895">Carrying Agreements</option><option value="4861">Cash Equivalents</option><option value="255">Catastrophe Bonds</option><option value="3613">Central Registration Depository (CRD)</option><option value="246">Certificates of Deposit (CDs)</option><option value="259">Collateralized Mortgage Obligations (CMOs)</option><option value="147">College Savings Plans</option><option value="292">Commodities and Futures</option><option value="197">Communications with the Public</option><option value="299">Compensation</option><option value="4853">Compliance Resources</option><option value="3687">Comprehensive Automated Risk Data System (CARDS)</option><option value="225">Conflicts of Interest</option><option value="3614">Consolidated Audit Trail (CAT)</option><option value="5015">Consolidated Reports</option><option value="62356">Continuing Education</option><option value="5066">Continuing Membership Applications</option><option value="3681">Continuing Membership Applications</option><option value="272">Corporate Bonds</option><option value="71">Corporate Financing</option><option value="4964">Correspondence</option><option value="138">Coverdell Education Saving Accounts (ESAs)</option><option value="150881">COVID-19 / Coronavirus</option><option value="150631">Credit for Cooperation</option><option value="265">Custodial Accounts (UGMA and UTMA)</option><option value="75">Customer Account Statements</option><option value="245">Customer Account Transfers</option><option value="57">Customer Information Protection</option><option value="168">Customer Orders</option><option value="3686">Cybersecurity</option><option value="124">Day Trading</option><option value="50">Deferred Annuities</option><option value="5013">Department of Labor</option><option value="157">Derivatives</option><option value="150566">Derivatives and Other Balance Sheet Items (OBS)</option><option value="150711">Digital Experience Transformation (DXT)</option><option

value="96">Direct Participation Programs (DPPs)</option><option value="150591">E-Bill</option><option value="3589">Education</option><option value="150581">EFocus</option><option value="18">Electronic Communications</option><option value="97">Electronic Filing Requirements</option><option value="4464">Electronic Fingerprint Processing</option><option value="4463">Electronic Fingerprint Submission (EFS)</option><option value="3588">Enforcement</option><option value="4952">Enforcement Process</option><option value="4854">Engagement</option><option value="170">Equities</option><option value="20">Equity-Indexed Annuities</option><option value="5031">Essentials Exam</option><option value="59">Event Linked Bonds</option><option value="4985">Exam Restructuring</option><option value="244">Exams</option><option value="87">Exchange Traded Funds (ETFs)</option><option value="4958">Expense Ratio</option><option value="5017">Expertise</option><option value="4957">Fee Disclosure</option><option value="36">Fees</option><option value="151231">fileX</option><option value="4945">Filing Requirements</option><option value="148771">Financial and Operational Rules, Interpretations of</option><option value="151236">Financial Professional Gateway (FinPro)</option><option value="4435">Financial Responsibility</option><option value="4466">Financial Stress Test</option><option value="4462">Fingerprints</option><option value="3670">FINRA Foundation</option><option value="4941">FINRA Logo</option><option value="4955">FINRA Membership/Name</option><option value="4826">FINRA360</option><option value="4563">FinTech</option><option value="4897">Firm Examination Program</option><option value="274">Fixed Annuities</option><option value="3663">Fixed Income</option><option value="89">Foreign Exchange Trading</option><option value="4948">Free Writing Prospectus</option><option value="4177">Funding and Liquidity</option><option value="112">Funding Portals</option><option value="300">Funds</option><option value="4902">GASB Accounts Support Fee</option><option value="269">Generation X</option><option value="4954">Ghost-writing</option><option value="288">Gifts, Gratuities and Non-Cash Compensation</option><option value="4901">Governmental Accounting Standards Board (GASB)</option><option value="100">Hedge Funds</option><option value="5064">High Risk Brokers</option><option value="3621">High Yield Bonds</option><option value="4864">High Yield Securities</option><option value="5020">Home Equity Funded Investments</option><option value="4969">Hyperlinks</option><option value="4953">Illiquid Investments</option><option value="4951">Indications of Interest</option><option value="3601">Individual Registration</option><option value="136">Individual Retirement Accounts (IRAs)</option><option value="294">Inexperienced</option><option value="150626">Information and Testimony Requests</option><option value="145">Initial Public Offering (IPO)</option><option value="4855">Innovation</option><option value="3604">INSITE</option><option value="5012">Institutional Communications</option><option value="25">Insurance</option><option value="185">International and Emerging Market Bonds</option><option value="4982">Investment Analysis Tools</option><option value="150986">Investment Banking Referrals</option><option value="4440">Investment Products</option><option value="4856">Investor Protection</option><option

value="171">Investors</option><option value="9">Junk Bonds</option><option
 value="4971">Letterhead</option><option value="5016">Life
 Settlements</option><option value="4907">Limit Order</option><option
 value="4939">Linking to BrokerCheck</option><option value="228">Margin
 Accounts</option><option value="4949">Margin Risk Disclosure</option><option
 value="4437">Mark-ups / Mark-Downs</option><option value="4528">Market
 Access</option><option value="4906">Market Order</option><option
 value="3661">Market Regulation</option><option value="99">Market
 Transparency</option><option value="5068">Materiality Consultation
 Process</option><option value="3685">Member Application Program</option><option
 value="229">Mergers Acquisitions and Business Transfers</option><option
 value="77">Military</option><option value="4476">Military Spouses</option><option
 value="291">Millennials</option><option value="88">Money Market
 Securities</option><option value="142">Mortgage Backed Securities</option><option
 value="3615">Municipal Advisor Regulation</option><option value="4866">Municipal
 Fund Securities</option><option value="237">Municipal Securities</option><option
 value="297">Mutual Funds</option><option value="453">National Adjudicatory Council
 (NAC)</option><option value="150951">National Cause and Financial Crimes Detection
 Programs (NCFC)</option><option value="4963">National Do-Not-Call
 Registry</option><option value="150636">National Market System
 Plans</option><option value="73">Near Retirement</option><option
 value="4974">Negative Response Letters</option><option value="207">Net
 Capital</option><option value="4185">New Account Process</option><option
 value="4944">New Firm Communications</option><option value="219">New
 Investor</option><option value="3591">Office of Fraud Detection and Market
 Intelligence</option><option value="450">Office of Hearing Officers
 (OHO)</option><option value="4912">Office of the Chief Economist</option><option
 value="3599">Office of the General Counsel</option><option value="3600">Office of the
 Ombudsman</option><option value="3595">Office of the Whistleblower</option><option
 value="4858">Operations</option><option value="14">Options</option><option
 value="148756">Options Exchange Filings</option><option value="3605">Order Audit
 Trail System (OATS)</option><option value="68">Order Handling</option><option
 value="256">OTC (ATS & Non-ATS) Transparency</option><option
 value="3607">OTC Bulletin Board (OTCBB)</option><option value="3606">Over-the-
 Counter Reporting Facility (ORF)</option><option
 value="3587">Oversight</option><option value="4478">Penny Stocks</option><option
 value="290">Pre-investor</option><option value="95">Preferred
 Securities</option><option value="4950">Principal Approval</option><option
 value="4868">Principal Protected Notes</option><option value="204">Private
 Placements</option><option value="4908">Product Vetting</option><option
 value="5018">Professional Designations</option><option
 value="4972">Projections</option><option value="211">Promissory
 Notes</option><option value="4436">Proprietary Trading</option><option
 value="271">Public Disclosure Program</option><option value="111">Public non-traded
 REITS</option><option value="4438">Public Offerings</option><option
 value="62351">Qualification Exams</option><option
 value="4981">Rankings</option><option value="260">Real Estate Investment
 Trusts</option><option value="4973">Registered Investment Advisers
 (RIA)</option><option value="3593">Registration and Disclosure (RAD)</option><option

value="4870">Regulation A Offerings</option><option value="150571">Regulation Best
 Interest (REG BI)</option><option value="4871">Regulation D
 Offerings</option><option value="150576">Regulation M</option><option
 value="5065">Regulation M Filings</option><option value="3608">Regulation
 NMS</option><option value="4977">Related Performance</option><option
 value="3680">Renewal Program</option><option
 value="76">Reporting</option><option value="5021">Reprints</option><option
 value="5">Research Analyst Rules</option><option value="4452">Research
 Disclosures</option><option value="4965">Research Reports</option><option
 value="101">Retirement Savings Plans</option><option value="4911">Retrospective
 Rule Review</option><option value="4453">Reverse Convertible Notes
 (RCN)</option><option value="202">Risk Management</option><option
 value="148766">Rule 4530 Reporting Requirements</option><option
 value="154">Sales Practices</option><option value="4946">Sanction
 Guidelines</option><option value="123">Savings Accounts</option><option
 value="4956">Securities Investor Protection Corporation - SIPC</option><option
 value="63">Security Futures</option><option value="148776">SEC's July 2013
 Financial Responsibility Rule Amendments</option><option value="4947">Senior
 Designations</option><option value="3585">Senior Investors</option><option
 value="4943">Shareholder Reports</option><option value="4457">Short Interest
 Reporting</option><option value="4456">Short Selling</option><option
 value="179">Social Media</option><option value="150601">Statutory
 Disqualification</option><option value="181">Stocks</option><option
 value="58">Structured Products</option><option value="150551">Subordination
 Agreements</option><option value="301">Suitability</option><option
 value="233">Supervision</option><option value="150596">Supplemental Statement of
 Income (SSOI)</option><option value="3594">Technology</option><option
 value="22">Teens</option><option value="278">Telemarketing</option><option
 value="4961">Television and Video</option><option
 value="4976">Templates</option><option value="4962">Tenants-in-Common
 Interests</option><option value="4979">Third Party Research</option><option
 value="243">Thrift savings plan (TSP)</option><option value="4095">Tick Size Pilot
 Program</option><option value="4530">TRACE BTDS</option><option
 value="3609">Trade Reporting and Compliance Engine (TRACE)</option><option
 value="3610">Trade Reporting Facility (TRF)</option><option value="150586">Trading
 Activity Fee</option><option value="3618">Treasury Bills</option><option
 value="180">Treasury Bonds</option><option value="5014">Treasury Inflation
 Protected Securities (TIPS)</option><option value="3619">Treasury
 Notes</option><option value="4891">U.S. Treasury Securities</option><option
 value="3611">Uniform Practice Code (UPC)</option><option value="5067">Update a
 Firm's Registration</option><option value="151101">Use of Negative Response
 Letters</option><option value="167">Variable Annuities</option><option
 value="4873">Variable Life Insurance Products</option><option value="4905">VIX-
 Linked Products (Volatility Index)</option><option value="151106">Web
 CRD</option><option value="3">Women</option></select>
 </fieldset>

```
<fieldset class="js-form-item js-form-type-select form-type-select js-form-item-core-official-year form-item-core-official-year form-group">
```

```
  <label for="edit-core-official-year">Year</label>
```

```
  <select data-bef-auto-submit-exclude="" class="multiselect-small form-select form-control custom-select" data-drupal-selector="edit-core-official-year" multiple="multiple" name="core_official_year[]" id="edit-core-official-year"><option value="2021">2021</option><option value="2020">2020</option><option value="2019">2019</option><option value="2018">2018</option><option value="2017">2017</option><option value="2016">2016</option><option value="2015">2015</option><option value="2014">2014</option><option value="2013">2013</option><option value="2012">2012</option><option value="2011">2011</option><option value="2010">2010</option><option value="2009">2009</option><option value="2008">2008</option><option value="2007">2007</option><option value="2006">2006</option><option value="2005">2005</option><option value="2004">2004</option><option value="2003">2003</option><option value="2002">2002</option><option value="2001">2001</option><option value="2000">2000</option><option value="1999">1999</option><option value="1998">1998</option><option value="1997">1997</option><option value="1996">1996</option><option value="1995">1995</option><option value="1994">1994</option><option value="1993">1993</option><option value="1992">1992</option><option value="1991">1991</option><option value="1990">1990</option><option value="1989">1989</option><option value="1988">1988</option><option value="1987">1987</option><option value="1970">1970</option><option value="1969">1969</option></select>
```

```
  </fieldset>
```

```
<div data-drupal-selector="edit-actions" class="form-actions js-form-wrapper form-group" id="edit-actions"><input data-bef-auto-submit-click="" data-drupal-selector="edit-submit-search-finra" type="submit" id="edit-submit-search-finra" value="Search" class="button js-form-submit form-submit btn btn-primary form-control" />
```

```
</div>
```

```
</div>
```

```
</form>
```

```
  </div>
```

```
</div>
```

```
</div>
```

```
</section>
```

```
  </div>
```

```
</div>
```

```
<div class="row">
```

```
  <div class="col">
```

```

        </div>
    </div>
</div>
</div>
    <div class="finra-container">
        <div class="row">
            <div class="col-lg-1">
                <section class="region region-header">
                    <a href="/" title="Home" rel="home" class="navbar-brand">
                        

                    </a>

                </section>

            </div>
            <div class="col-lg">
                <nav class="navbar navbar-dark bg-transparent" id="navbar-top">
                    <div class="header-menus col collapse" id="CollapsingNavbar">
                        <div class="secondary-header-row row justify-content-
between">
                            <div class="secondary-menu col-lg-9">
                                <section class="region region-secondary-menu">
                                    <nav role="navigation" aria-labelledby="block-finrautilitymenu-menu" id="block-
finrautilitymenu" data-block-plugin-id="system_menu_block:finra-utility-menu"
class="block block-menu navigation menu--finra-utility-menu">

                                        <h2 class="sr-only" id="block-finrautilitymenu-menu">FINRA Utility Menu</h2>

                                            <ul block="block-finrautilitymenu" class="clearfix nav navbar-nav">
                                                <li class="nav-item menu-item--collapsed">
                                                    <a href="/about" class="nav-link" data-drupal-link-system-
path="node/135106">About FINRA</a>
                                                </li>
                                                <li class="nav-item menu-item--collapsed">
                                                    <a href="/careers" class="nav-link" data-drupal-link-system-
path="node/135166">Careers</a>
                                                </li>
                                                <li class="nav-item menu-item--collapsed">
                                                    <a href="/media-center" class="nav-link" data-drupal-link-system-
path="node/136031">Media Center</a>
                                                </li>
                                                <li class="nav-item">
                                                    <a href="/contact-finra" class="nav-link" data-drupal-link-system-
path="node/135416">Contact Us</a>
                                                </li>

```

```

        <li class="nav-item">
            <a href="https://brokercheck.finra.org" class="nav-link">BrokerCheck</a>
        </li>
    </ul>

</nav>

</section>

</div>
<div class="top-header col-lg-2">

</div>
<div class="top-header-form">
    <section class="region region-top-header-form">
        <div id="block-loginoverlay" data-block-plugin-id="block_content:c518cdf2-f12b-4b79-
971f-bc2ff7b602d5" class="block block-block-content block-block-contentc518cdf2-f12b-
4b79-971f-bc2ff7b602d5">

            <div class="content">

                <div class="clearfix text-formatted field field--name-body field--type-text-with-
summary field--label-hidden field__item"><div aria-controls="loginCollapse" aria-
expanded="false" class="test" data-toggle="collapse" href="#loginCollapse" id="login-
icon" role="button">
                    <p>Log In</p>
                </div>

                <div class="collapse" id="loginCollapse">
                    <div>
                        <ul class="list-unstyled-links"><li class="login-url"><span><a
href="https://finpro.finra.org/">FinPro (The Financial Professional
Gateway)</a></span></li>
                            <li class="login-url"><span><a href="https://gateway.finra.org">FINRA
Gateway</a> </span></li>
                            <li class="login-url"><span><a href="https://drportal.finra.org">Dispute
Resolution Portal</a> </span></li>
                        </ul></div>

                        <div class="login-second">
                            <p class="login-links"><a class="login-link" style="font-size:1.4em;important;"
href="/filing-reporting/entitlement/systems">Login to Other FINRA Systems</a></p>
                        </div>

                        <div class="login-third">

```



```

<p class="login-links"><a class="login-link" href="/filing-reporting/entitlement-
program/request-access">Request Access</a> | <a class="login-link" href="/filing-
reporting/entitlement-program/">About Account Creation</a></p>
</div>

<div class="login-fourth">
<p class="need-help">Need Help? Contact FINRA at 301-590-6500.</p>
</div>
</div>
</div>

</div>
</div>

</section>

</div>
</div>

<div class="primary-header-row row justify-
content-between">
<div class="primary-menu col-lg-11">
<section class="region region-primary-menu">
<div id="block-finrahomepagenavwmeagamenus" data-block-plugin-id="superfish:finra-
homepage-nav-w-megame" class="block block-superfish block-superfishfinra-
homepage-nav-w-megame">

<div class="content">

<ul id="superfish-finra-homepage-nav-w-megame" class="menu sf-menu sf-finra-
homepage-nav-w-megame sf-horizontal sf-style-blue">

<li id="finra-homepage-nav-w-megame-menu-link-contentd364ff8f-3347-4ef3-8cb5-
0f24583a410d" class="sf-depth-1 header menuparent"><a href="/rules-guidance"
class="sf-depth-1 menuparent">Rules & Guidance</a><ul class="sf-
multicolumn"><li class="sf-multicolumn-wrapper"><ol><li id="finra-homepage-nav-w-
megame-menu-link-contentc4fa03e6-c6a1-43a1-834a-240ef1b4fcb8" class="sf-depth-2
header sf-multicolumn-column menuparent"><div class="sf-multicolumn-column"><a
href="/" class="sf-depth-2 menuparent">R&G section 1</a><ol><li id="finra-
homepage-nav-w-megame-menu-link-content0fd86390-2923-4574-8658-
cb98ab5dd4b4" class="sf-depth-3 header menuparent"><a href="/rules-guidance/finra-
manual" class="sf-depth-3 menuparent">FINRA Manual</a><ol><li id="finra-homepage-
nav-w-megame-menu-link-contentc613f01b-6db6-4fbe-8a5d-c9388764ce7c" class="sf-
depth-4 header sf-no-children"><a href="/rules-guidance/rulebooks/updates" class="sf-
depth-4">Updates</a></li></ol></li><li id="finra-homepage-nav-w-megame-menu-link-
contentdd19a09a-6c3c-43ef-a6dd-b62b599355fc" class="sf-depth-3 header
menuparent"><a href="/rules-guidance/interpreting-rules" class="sf-depth-3
menuparent">Interpreting the Rules</a><ol><li id="finra-homepage-nav-w-megame-
menu-link-contentbeb8e88e-19b6-4141-8119-ab161b29733f" class="sf-depth-4 header

```

sf-no-children">Notices<li id="finra-homepage-nav-w-megame-menu-link-content01bcde5a-18bd-49bc-ad8a-5030dfa32bce" class="sf-depth-4 header sf-no-children">Guidance<li id="finra-homepage-nav-w-megame-menu-link-contentbeaeaea8-a70b-4cd5-85e7-6f315919df94" class="sf-depth-4 header sf-no-children">Frequently Asked Questions<li id="finra-homepage-nav-w-megame-menu-link-contentbee8ddc9-8e5e-45fe-8124-1030d6f581fd" class="sf-depth-4 header sf-no-children">Key Topics<li id="finra-homepage-nav-w-megame-menu-link-content35e5f001-c7fb-4fd8-8a91-cadf2e42c4c3" class="sf-depth-4 header sf-no-children">Interpretive Questions</div><li id="finra-homepage-nav-w-megame-menu-link-content34a6a839-8a25-4bca-ad8b-96dd506ae13b" class="sf-depth-2 header sf-multicolumn-column menuparent"><div class="sf-multicolumn-column">R&G section 2<li id="finra-homepage-nav-w-megame-menu-link-content11a59f72-4eb5-40c9-9f12-0e4df107d32e" class="sf-depth-3 header menuparent">The Rulemaking Process<li id="finra-homepage-nav-w-megame-menu-link-content442f10f2-603f-48c1-8e88-dd7775df8358" class="sf-depth-4 header sf-no-children">Rule Filings<li id="finra-homepage-nav-w-megame-menu-link-contented33f23a-f1bf-4676-9ac1-bb6030d21da8" class="sf-depth-4 header sf-no-children">Rule Filing Status Report<li id="finra-homepage-nav-w-megame-menu-link-contenta34943b3-a2ae-4d0c-947a-69cb69f2b01c" class="sf-depth-4 header sf-no-children">Requests for Comments<li id="finra-homepage-nav-w-megame-menu-link-content30aadd78-ca2e-40ae-bced-a0ac2defb99f" class="sf-depth-4 header sf-no-children">Rulebook Consolidation<li id="finra-homepage-nav-w-megame-menu-link-contentb0358eae-fb53-42df-afeb-1c5d10c4768f" class="sf-depth-3 header menuparent">Adjudication & Decisions<li id="finra-homepage-nav-w-megame-menu-link-content2a56bcb6-1f2b-46e0-a218-6e88266deb22" class="sf-depth-4 header sf-no-children">National Adjudicatory Council (NAC)<li id="finra-homepage-nav-w-megame-menu-link-content3a218621-a4de-45c7-af83-444f7e057dfe" class="sf-depth-4 header sf-no-children">Office of Hearing Officers (OHO)</div><li id="finra-homepage-nav-w-megame-menu-link-content0e906962-a50a-4493-b1b0-453314f45999" class="sf-depth-2 header sf-multicolumn-column menuparent"><div class="sf-multicolumn-column">R&G section 3<li id="finra-homepage-nav-w-megame-menu-link-content8f3e31d0-75c8-4832-9462-15f4bb2b194a" class="sf-depth-3 header menuparent">Enforcement<li id="finra-homepage-nav-w-megame-menu-link-content9aeb2774-cf45-4d9a-91a4-453f45d67c2e" class="sf-depth-4 header sf-no-children"><a href="/rules-

guidance/oversight-enforcement/disciplinary-actions-online" class="sf-depth-4">Disciplinary Actions Online<li id="finra-homepage-nav-w-megame-menu-link-contentb29d8043-edf0-4cbf-b309-617895a7291b" class="sf-depth-4 header sf-no-children">Monthly Disciplinary Actions<li id="finra-homepage-nav-w-megame-menu-link-content0fc35c29-9b69-442e-a100-6f43dad32529" class="sf-depth-4 header sf-no-children">Sanction Guidelines<li id="finra-homepage-nav-w-megame-menu-link-content97dca4ad-2cc0-4d04-88e7-2f3f2fffc484" class="sf-depth-4 header sf-no-children">Individuals Barred by FINRA</div><li id="finra-homepage-nav-w-megame-menu-link-content6246d576-c6c4-40b2-bf29-c84cbcd6e5f6" class="sf-depth-1 header menuparent">Registration, Exams & CE<ul class="sf-multicolumn"><li class="sf-multicolumn-wrapper"><li id="finra-homepage-nav-w-megame-menu-link-contente77a7ced-1006-4699-96fa-abba0b04ee92" class="sf-depth-2 header sf-multicolumn-column menuparent"><div class="sf-multicolumn-column">Registration section 1<li id="finra-homepage-nav-w-megame-menu-link-content7382dda4-d27f-4b09-a78b-345a21172d18" class="sf-depth-3 header menuparent">Registration<li id="finra-homepage-nav-w-megame-menu-link-content559e0f15-30c4-444d-8d7f-8cf5d84f1398" class="sf-depth-4 header sf-no-children">Broker Dealers<li id="finra-homepage-nav-w-megame-menu-link-content05b7a849-0aee-4e04-b48f-e342ab607ad1" class="sf-depth-4 header sf-no-children">Capital Acquisition Brokers<li id="finra-homepage-nav-w-megame-menu-link-contentead9f92a-652b-4ffe-845d-7a0e9cf19886" class="sf-depth-4 header sf-no-children">Funding Portals<li id="finra-homepage-nav-w-megame-menu-link-content014044e4-2881-4050-a49d-857a255fe0f1" class="sf-depth-4 header sf-no-children">Individuals</div><li id="finra-homepage-nav-w-megame-menu-link-content0bff760a-f8cf-424a-9ddf-28458084a738" class="sf-depth-2 header sf-multicolumn-column menuparent"><div class="sf-multicolumn-column">Registration section 2<li id="finra-homepage-nav-w-megame-menu-link-content1de7b82c-9510-4299-80fd-ffa92b653ff3" class="sf-depth-3 header menuparent">Qualification Exams<li id="finra-homepage-nav-w-megame-menu-link-contentdff59b69-4368-4ef8-b3f6-73f837dc91f5" class="sf-depth-4 header sf-no-children">Securities Industry Essentials Exam (SIE)<li id="finra-homepage-nav-w-megame-menu-link-contentf5cd72c5-e78f-4052-9227-e38de594970e" class="sf-depth-4 header sf-no-children">Series 7<li id="finra-homepage-nav-w-megame-menu-link-content9b809e13-52b4-4983-b0e4-573324627730" class="sf-depth-4 header sf-no-children"><a href="/registration-exams-ce/qualification-exams" class="sf-depth-

4">All<li id="finra-homepage-nav-w-megame-menu-link-content8d5e5890-9008-4538-9269-45e8f398f2f0" class="sf-depth-3 header sf-no-children">Continuing Education (CE)</div><li id="finra-homepage-nav-w-megame-menu-link-contentb3ce66cb-c454-41ac-93e2-d06921ba2296" class="sf-depth-2 header sf-multicolumn-column menuparent"><div class="sf-multicolumn-column">Registration section 3<li id="finra-homepage-nav-w-megame-menu-link-contentca00e169-8f6d-44a6-bc51-fd004bcffb5e" class="sf-depth-3 header menuparent">Registration Systems<li id="finra-homepage-nav-w-megame-menu-link-contentf0c723f6-a484-40ca-8375-9da2ba562c82" class="sf-depth-4 header sf-no-children">Classic CRD<li id="finra-homepage-nav-w-megame-menu-link-contentfd9a7a60-cd6f-440b-a2bb-94d29db08ad7" class="sf-depth-4 header sf-no-children">Financial Professional Gateway (FINPRO)<li id="finra-homepage-nav-w-megame-menu-link-contentaff7e918-f90b-47c8-b20a-c142d851eecd" class="sf-depth-4 header sf-no-children">Financial Industry Networking Directory (FIND)</div><li id="finra-homepage-nav-w-megame-menu-link-contentc91560c1-f78f-4fb8-93d3-0f765ae25c50" class="sf-depth-1 header menuparent">Events & Training<ul class="sf-multicolumn"><li class="sf-multicolumn-wrapper"><li id="finra-homepage-nav-w-megame-menu-link-content37c18b3c-b40d-4d0b-a35c-fd7b9cd7cfbc" class="sf-depth-2 header sf-no-children">Conferences & Events<li id="finra-homepage-nav-w-megame-menu-link-contente5b420f9-079f-4c37-95f8-194d09d9435e" class="sf-depth-2 header sf-no-children">Virtual Conference Panels<li id="finra-homepage-nav-w-megame-menu-link-content41cf2d3f-45be-4a49-abe2-216c670c516d" class="sf-depth-2 header sf-no-children">FINRA Institute at Georgetown<li id="finra-homepage-nav-w-megame-menu-link-content7512f043-5209-47e9-905a-2c250d2f42c1" class="sf-depth-2 header sf-no-children">A Few Minutes With FINRA<li id="finra-homepage-nav-w-megame-menu-link-content4c33f636-b82b-4da5-a1c0-5bd277c56159" class="sf-depth-2 header sf-no-children">E-Learning Courses<li id="finra-homepage-nav-w-megame-menu-link-contentb8a0bf3a-b109-46f7-a66b-686f755979ae" class="sf-depth-2 header sf-no-children">Small Firm Conference Call<li id="finra-homepage-nav-w-megame-menu-link-content7b841b12-80d6-4430-bb32-34aac7478a2c" class="sf-depth-2 header sf-no-children">Webinars<li id="finra-homepage-nav-w-megame-menu-link-content6fd378b6-f9fa-4fb6-9a92-44a5b40a4654" class="sf-depth-1 header menuparent">Filing & Reporting<ul class="sf-multicolumn"><li class="sf-multicolumn-wrapper"><li id="finra-homepage-nav-w-megame-menu-link-content218fb59a-ab2d-4154-9e5e-

bb92cc9bc1bb" class="sf-depth-2 header sf-no-children">Entitlement Program<li id="finra-homepage-nav-w-megame-menu-link-content45890a60-ffd0-408b-b688-d3cb5ea16c3b" class="sf-depth-2 header sf-no-children">FINRA Gateway<li id="finra-homepage-nav-w-megame-menu-link-contentbae311ee-22aa-495b-b1e4-08103bff186c" class="sf-depth-2 header sf-no-children">Market Transparency Reporting Tools<li id="finra-homepage-nav-w-megame-menu-link-contentfe09146b-9227-43ad-8c9d-90f2fdbf9abb" class="sf-depth-2 header sf-no-children">Regulatory Filing Systems<li id="finra-homepage-nav-w-megame-menu-link-content511e4ed3-fbd4-4e2c-b021-233e34a30d7f" class="sf-depth-2 header sf-no-children">Data Transfer Tools<li id="finra-homepage-nav-w-megame-menu-link-contentf50e0e83-fb3a-4267-afb0-26381a1b6548" class="sf-depth-2 header sf-no-children">E-Bill<li id="finra-homepage-nav-w-megame-menu-link-content858bee61-be4f-4019-9504-8f52219e46c2" class="sf-depth-1 header menuparent">Compliance Tools<ul class="sf-multicolumn"><li class="sf-multicolumn-wrapper"><li id="finra-homepage-nav-w-megame-menu-link-contentd9aba95e-f14e-492f-a311-b1deb2d641a4" class="sf-depth-2 header sf-no-children">Cybersecurity Checklist<li id="finra-homepage-nav-w-megame-menu-link-contente8f6a8d2-5339-434b-bf53-454414f1bd22" class="sf-depth-2 header sf-no-children">Compliance Calendar<li id="finra-homepage-nav-w-megame-menu-link-content909b0c56-9c3f-45f5-a5c7-1fb357836217" class="sf-depth-2 header sf-no-children">Weekly Update Email Archive<li id="finra-homepage-nav-w-megame-menu-link-content70bf8471-d3be-4434-89ad-6a7dad2f03ed" class="sf-depth-2 header sf-no-children">Peer-2-Peer Compliance Library<li id="finra-homepage-nav-w-megame-menu-link-content4c70c880-5b3f-4360-a426-51880fac55db" class="sf-depth-2 header sf-no-children">Preferred Pricing Program<li id="finra-homepage-nav-w-megame-menu-link-contenta11a1eb4-fdc8-42d3-8871-b29e49b4bfca" class="sf-depth-2 header sf-no-children">Compliance Vendor Directory<li id="finra-homepage-nav-w-megame-menu-link-contentfd1f1648-ab67-4ad3-aaff-82654eb5c03c" class="sf-depth-2 header sf-no-children">All<li id="finra-homepage-nav-w-megame-menu-link-content166813ea-e8cf-4186-afde-ac390338cb34" class="active-trail sf-depth-1 header menuparent">For Investors<ul class="sf-multicolumn"><li class="sf-multicolumn-wrapper"><li id="finra-homepage-nav-w-megame-menu-link-content487f0260-89ef-4669-b813-59783f448eaa" class="sf-depth-2 header sf-multicolumn-column menuparent"><div class="sf-multicolumn-column">For Investors section 1</div><li id="finra-homepage-nav-w-megame-menu-link-content9e05d85c-ba77-4f30-aa90-

316e5e9b0efa" class="sf-depth-3 header sf-no-children">Investor Insights<li id="finra-homepage-nav-w-megame-menu-link-contenta6e7f364-bb67-445e-83fe-54502c0be137" class="sf-depth-3 header sf-no-children">Tools & Calculators<li id="finra-homepage-nav-w-megame-menu-link-contentf9937aef-c2c0-43d0-a37d-80488ce689c4" class="sf-depth-3 header menuparent">Personal Finance<li id="finra-homepage-nav-w-megame-menu-link-content6739607a-bc57-42d9-af9b-e5419f9192a9" class="sf-depth-4 header sf-no-children">Financial Goals<li id="finra-homepage-nav-w-megame-menu-link-content83d34336-47b1-4f04-84c5-03cefb7fa147" class="sf-depth-4 header sf-no-children">Net Worth<li id="finra-homepage-nav-w-megame-menu-link-content2371ce1f-76a9-4c3a-8a95-88cfb92b21e6" class="sf-depth-4 header sf-no-children">Spending<li id="finra-homepage-nav-w-megame-menu-link-content856bce8a-cc2f-4005-ac23-abf88f872d7e" class="sf-depth-4 header sf-no-children">Debt<li id="finra-homepage-nav-w-megame-menu-link-content8cb9e94d-70e5-48e3-b783-ae5634593e61" class="sf-depth-4 header sf-no-children">Credit Scores<li id="finra-homepage-nav-w-megame-menu-link-contentfff13254-0dcc-4378-b052-07a9b69207b2" class="sf-depth-4 header sf-no-children">Emergency Funds</div><li id="finra-homepage-nav-w-megame-menu-link-contentaf157c60-828d-48e7-93ee-a7b4928ef97d" class="sf-depth-2 header sf-multicolumn-column menuparent"><div class="sf-multicolumn-column">For Investors section 2<li id="finra-homepage-nav-w-megame-menu-link-content16325fe0-f4ab-4210-a2a9-2f6d0400e74a" class="sf-depth-3 header menuparent">Learn to Invest<li id="finra-homepage-nav-w-megame-menu-link-contentca5c7515-66c6-4123-9451-e166619b6aac" class="sf-depth-4 header sf-no-children">Choosing an Investment Professional<li id="finra-homepage-nav-w-megame-menu-link-content15a56576-6826-4e44-beb2-c850f04cfe23" class="sf-depth-4 header sf-no-children">Types of Investments<li id="finra-homepage-nav-w-megame-menu-link-contente77a0b07-03ba-402a-89c0-5be0a647fd7e" class="sf-depth-4 header sf-no-children">Key Investing Concepts<li id="finra-homepage-nav-w-megame-menu-link-contentad81b387-c1dc-45c8-a579-61f43038fc0f" class="sf-depth-4 header sf-no-children">Brokerage Accounts<li id="finra-homepage-nav-w-megame-menu-link-content541b9526-18dd-4fe3-89a6-c4ed7678c963" class="sf-depth-4 header sf-no-children">Advanced Investing<li id="finra-homepage-nav-w-megame-menu-link-content4bdf4dcb-3b6b-4adc-bcb8-3e6f5571159c" class="sf-depth-4 header sf-no-children"><a href="/investors/learn-to-invest/young-adults-and-investing" class="sf-

depth-4">Young Adults and Investing<li id="finra-homepage-nav-w-megame-menu-link-content7f700e32-3172-4bda-a1cb-30dc3474d8b7" class="sf-depth-3 header menuparent">Protect Your Money<li id="finra-homepage-nav-w-megame-menu-link-content592dcde4-0665-44cd-807f-513d52fafa2c" class="sf-depth-4 header sf-no-children">Investor Alerts<li id="finra-homepage-nav-w-megame-menu-link-content1309983b-3f28-4963-a62d-0480a05bc438" class="sf-depth-4 header sf-no-children">Ask and Check<li id="finra-homepage-nav-w-megame-menu-link-content7182170a-17a2-460a-a0ed-58558026b7b5" class="sf-depth-4 header sf-no-children">Avoid Fraud<li id="finra-homepage-nav-w-megame-menu-link-content22335996-9b97-4987-a258-9236142677ea" class="sf-depth-4 header sf-no-children">Protect Your Identity</div><li id="finra-homepage-nav-w-megame-menu-link-content91b356cf-c2a8-4b63-88f6-ce00da02e866" class="active-trail sf-depth-2 header sf-multicolumn-column menuparent"><div class="sf-multicolumn-column">For Investors section 3<li id="finra-homepage-nav-w-megame-menu-link-content41b96366-28ff-43a8-ad5e-ed305e7d67a0" class="active-trail sf-depth-3 header menuparent">Have a Problem?<li id="finra-homepage-nav-w-megame-menu-link-content6aea10f3-7921-43a1-bca4-370eaa5595dc" class="sf-depth-4 header sf-no-children">File a Complaint<li id="finra-homepage-nav-w-megame-menu-link-content6c615aeb-1710-4594-8190-4d5d09ae271b" class="sf-depth-4 header sf-no-children">FINRA Securities Helpline for Seniors<li id="finra-homepage-nav-w-megame-menu-link-contentd7c8214d-622b-4b84-bfba-2f0fe1d517d2" class="active-trail sf-depth-4 header sf-no-children">Dispute Resolution<li id="finra-homepage-nav-w-megame-menu-link-contentafbe1bce-eeeb-4015-8fe3-17b74146838c" class="sf-depth-4 header sf-no-children">SIPC Protection<li id="finra-homepage-nav-w-megame-menu-link-content2fec964a-fdd3-4807-843a-c00167921c04" class="sf-depth-4 header sf-no-children">Avenues for Recovery of Losses</div>

</div>

</div>

</section>

</div>

<div class="search-icon d-flex justify-content-end">

<button class="search-btn" type="button" data-toggle="collapse" data-target="#search-form" aria-expanded="false" aria-controls="search-form">

```

        <i class="fa fa-search fa-2x" aria-hidden="true"></i>
      </button>
    </div>
  </div>
  <div>
    <button class="navbar-toggler navbar-toggler-right" type="button" data-
toggle="collapse" data-target="#CollapsingNavbar" aria-controls="CollapsingNavbar"
aria-expanded="false" aria-label="Toggle navigation"><span class="navbar-toggler-
icon"></span></button>
  </nav>
</div>
</div>
</div>
</div>
<div class="finra-container">
  <div class="row">
    <div class="col">

      </div>
    </div>
  </div>
</div>
</header>

```

```
<div id="main-wrapper" class="layout-main-wrapper clearfix">
  <div id="main" class="container-fluid finra-container">
```

```
<section class="row">
  <div class="col-lg-7 specific-crumbs region region-breadcrumb">
    <div id="block-finra-bootstrap-sass-breadcrumbs" data-block-plugin-
id="system_breadcrumb_block" class="breadcrumbs__container">
```

```
<nav role="navigation" aria-label="breadcrumb">
  <ol class="breadcrumb">
    <li class="breadcrumb-item">
      <a href="/arbitration-mediation">FINRA Dispute Resolution Services</a>
    </li>
  </ol>
</nav>

</div>

</div>

</section>
```

<div class="row row-offcanvas row-offcanvas-left clearfix">

```

        <div class="sidebar col-lg-3 finra-sidebar-first menu-top"
id="sidebar_first">
        <aside class="section menu-sticky" role="complementary">

                <div class="layout--left-nav">
                <div onclick="this.classList.toggle('active')" class="d-sm-block d-lg-none
left-nav-toggle arrow-down" data-toggle="collapse" data-target=".layout-collapse">
                EXPLORE THIS SECTION
                </div>
                <div class="left-nav-collapse collapse layout-collapse">
                <div class="views-exposed-form bef-exposed-form block block-views
block-views-exposed-filter-blockaao-views-page-1" data-drupal-selector="views-
exposed-form-aao-views-page-1" id="block-exposedformaaoviewspage-1" data-block-
plugin-id="views_exposed_filter_block:aao_views-page_1">

```

```

<div class="content">

```

```

<form action="/arbitration-mediation/arbitration-awards-online" method="get" id="views-
exposed-form-aao-views-page-1" accept-charset="UTF-8">
  <div class="form-row">
    <fieldset class="radio-two-column fieldgroup form-composite js-form-item form-item js-
form-wrapper form-group" data-drupal-selector="edit-aao-radios" id="edit-aao-radios--
wrapper">
      <legend>
        <span class="fieldset-legend">Search</span>
      </legend>
      <div class="fieldset-wrapper">
        <div id="edit-aao-radios" class="radio">

```

```

        <div class="js-form-item js-form-type-radio radio form-check js-form-item-aao-radios
form-item-aao-radios">
          <input class="radio-two-column form-radio form-check-input" data-drupal-
selector="edit-aao-radios-all" type="radio" id="edit-aao-radios-all" name="aao_radios"
value="all" checked="checked">
          <label class="js-form-item js-form-type-radio radio form-check js-form-item-aao-
radios form-item-aao-radios form-check-label" for="edit-aao-radios-all">
            All Cases
          </label>
        </div>

```

```

<div class="js-form-item js-form-type-radio radio form-check js-form-item-aao-radios
form-item-aao-radios">

```

```

        <input class="radio-two-column form-radio form-check-input" data-drupal-
selector="edit-aao-radios-case-id" type="radio" id="edit-aao-radios-case-id"
name="aao_radios" value="case_id">
        <label class="js-form-item js-form-type-radio radio form-check js-form-item-aao-
radios form-item-aao-radios form-check-label" for="edit-aao-radios-case-id">
            Case ID
        </label>
    </div>
</div>

</div>
</fieldset>

```

```

<fieldset class="js-form-item js-form-type-textfield form-type-textfield js-form-item-
search form-item-search form-no-label form-group">
    <input placeholder="Case Number, Keyword or Name" data-drupal-
selector="edit-search" type="text" id="edit-search" name="search" value="17-01857"
size="30" maxlength="128" class="form-text form-control" />

</fieldset>

```

```

<fieldset class="js-form-item js-form-type-textfield form-type-textfield js-form-item-field-
case-id-text form-item-field-case-id-text form-no-label form-group">
    <input placeholder="Case Number" data-drupal-selector="edit-field-case-id-
text" type="text" id="edit-field-case-id-text" name="field_case_id_text" value="" size="30"
maxlength="128" class="form-text form-control" />

</fieldset>

```

```

<fieldset class="js-form-item js-form-type-textfield form-type-textfield js-form-item-field-
core-official-dt-min form-item-field-core-official-dt-min form-group">
    <label for="edit-field-core-official-dt-min">Date of Award</label>
    <input placeholder="mm/dd/yyyy" class="bef-datepicker form-text form-
control" data-drupal-selector="edit-field-core-official-dt-min" type="text" id="edit-field-
core-official-dt-min" name="field_core_official_dt[min]" value="" size="30"
maxlength="128" />

</fieldset>

```

```

<fieldset class="js-form-item js-form-type-textfield form-type-textfield js-form-item-field-
core-official-dt-max form-item-field-core-official-dt-max form-group">

```

```

        <label for="edit-field-core-official-dt-max">And</label>
        <input placeholder="mm/dd/yyyy" class="bef-datepicker form-text form-
control" data-drupal-selector="edit-field-core-official-dt-max" type="text" id="edit-field-
core-official-dt-max" name="field_core_official_dt[max]" value="" size="30"
maxlength="128" />

    </fieldset>
<fieldset data-drupal-selector="edit-field-document-type-tax" id="edit-field-document-
type-tax-wrapper" class="fieldgroup form-composite js-form-item form-item js-form-
wrapper form-group">
    <legend>
    <span class="fieldset-legend">Document Type</span>
    </legend>
    <div class="fieldset-wrapper">
        <div id="edit-field-document-type-tax" class="checkbox"><div data-drupal-
selector="edit-field-document-type-tax" id="edit-field-document-type-tax--wrapper"
class="fieldgroup form-composite form-checkboxes">

            <div class="js-form-item js-form-type-checkbox checkbox form-check js-form-item-field-
document-type-tax-4224 form-item-field-document-type-tax-4224">
                <input data-drupal-selector="edit-field-document-type-tax-4224"
type="checkbox" id="edit-field-document-type-tax-4224"
name="field_document_type_tax[4224]" value="4224" class="form-checkbox form-
check-input">
                <label class="js-form-item js-form-type-checkbox checkbox form-check js-form-
item-field-document-type-tax-4224 form-item-field-document-type-tax-4224 form-check-
label" for="edit-field-document-type-tax-4224">
                    Award
                </label>
            </div>

            <div class="js-form-item js-form-type-checkbox checkbox form-check js-form-item-field-
document-type-tax-4890 form-item-field-document-type-tax-4890">
                <input data-drupal-selector="edit-field-document-type-tax-4890"
type="checkbox" id="edit-field-document-type-tax-4890"
name="field_document_type_tax[4890]" value="4890" class="form-checkbox form-
check-input">
                <label class="js-form-item js-form-type-checkbox checkbox form-check js-form-
item-field-document-type-tax-4890 form-item-field-document-type-tax-4890 form-check-
label" for="edit-field-document-type-tax-4890">
                    Motion to Confirm
                </label>
            </div>

```

```

<div class="js-form-item js-form-type-checkbox checkbox form-check js-form-item-field-
document-type-tax-4594 form-item-field-document-type-tax-4594">
  <input data-drupal-selector="edit-field-document-type-tax-4594"
type="checkbox" id="edit-field-document-type-tax-4594"
name="field_document_type_tax[4594]" value="4594" class="form-checkbox form-
check-input">
  <label class="js-form-item js-form-type-checkbox checkbox form-check js-form-
item-field-document-type-tax-4594 form-item-field-document-type-tax-4594 form-check-
label" for="edit-field-document-type-tax-4594">
    Motion to Vacate
  </label>
</div>

```

```

<div class="js-form-item js-form-type-checkbox checkbox form-check js-form-item-field-
document-type-tax-4235 form-item-field-document-type-tax-4235">
  <input data-drupal-selector="edit-field-document-type-tax-4235"
type="checkbox" id="edit-field-document-type-tax-4235"
name="field_document_type_tax[4235]" value="4235" class="form-checkbox form-
check-input">
  <label class="js-form-item js-form-type-checkbox checkbox form-check js-form-
item-field-document-type-tax-4235 form-item-field-document-type-tax-4235 form-check-
label" for="edit-field-document-type-tax-4235">
    Order to Confirm
  </label>
</div>

```

```

<div class="js-form-item js-form-type-checkbox checkbox form-check js-form-item-field-
document-type-tax-4234 form-item-field-document-type-tax-4234">
  <input data-drupal-selector="edit-field-document-type-tax-4234"
type="checkbox" id="edit-field-document-type-tax-4234"
name="field_document_type_tax[4234]" value="4234" class="form-checkbox form-
check-input">
  <label class="js-form-item js-form-type-checkbox checkbox form-check js-form-
item-field-document-type-tax-4234 form-item-field-document-type-tax-4234 form-check-
label" for="edit-field-document-type-tax-4234">
    Order to Vacate
  </label>
</div>

```



```

<div class="js-form-item js-form-type-checkbox checkbox form-check js-form-item-field-
document-type-tax-4236 form-item-field-document-type-tax-4236">
  <input data-drupal-selector="edit-field-document-type-tax-4236"
type="checkbox" id="edit-field-document-type-tax-4236"
name="field_document_type_tax[4236]" value="4236" class="form-checkbox form-
check-input">
    <label class="js-form-item js-form-type-checkbox checkbox form-check js-form-
item-field-document-type-tax-4236 form-item-field-document-type-tax-4236 form-check-
label" for="edit-field-document-type-tax-4236">
      Other
    </label>
  </div>

```

```

</div>
</div>

```

```

</div>
</fieldset>

```

```

<fieldset class="js-form-item js-form-type-select form-type-select js-form-item-field-
forum-tax form-item-field-forum-tax form-group">
  <label for="edit-field-forum-tax">Forum</label>

```

```

<select data-drupal-selector="edit-field-forum-tax" id="edit-field-forum-tax"
name="field_forum_tax" class="form-select form-control custom-seclect-style"><option
value="All" selected="selected">- Any -</option><option value="150901">All
Forums</option><option value="4226">AMEX</option><option
value="4237">CBOE</option><option value="4225">FINRA</option><option
value="4229">MSRB</option><option value="4223">NASD</option><option
value="4228">NYSE</option><option value="4230">Pacific
Exchange/ARCA</option><option value="4227">PHLX</option></select>
</fieldset>

```

```

<fieldset class="js-form-item js-form-type-select form-type-select js-form-item-field-
special-case-type-tax form-item-field-special-case-type-tax form-group">
  <label for="edit-field-special-case-type-tax">Panel Composition</label>

```

```

<select data-drupal-selector="edit-field-special-case-type-tax" id="edit-field-special-case-
type-tax" name="field_special_case_type_tax" class="form-select form-control custom-
seclect-style"><option value="All" selected="selected">- Any -</option><option
value="4233">All Public Panel</option><option value="4238">Large Case
Project</option><option value="4232">Majority Public Panel</option><option

```

```

value="4231">Public Arbitrator Pilot Program</option><option value="150801">Special
Proceeding</option></select>
    </fieldset>
<div data-drupal-selector="edit-actions" class="form-actions js-form-wrapper form-group"
id="edit-actions"><input data-drupal-selector="edit-submit-aao-views" type="submit"
id="edit-submit-aao-views" value="Apply" class="button js-form-submit form-submit btn
btn-primary form-control" />

<input data-drupal-selector="edit-reset" type="submit" id="edit-reset" name="op"
value="Reset Filters" class="button js-form-submit form-submit btn btn-primary form-
control" />

</div>

</div>

</form>

</div>
</div>

    </div>
</div>

</aside>
</div>

    <main class="main-content col" id="content" role="main">
    <section class="section">
    <a id="main-content" tabindex="-1"></a>
    <div id="block-finra-bootstrap-sass-system-main" data-block-plugin-
id="system_main_block" class="block block-system block-system-main-block">

    <div class="content">
    <div class="views-element-container">
<div class="view view-aao-views view-id-aao_views view-display-id-page_1 js-view-
dom-id-4de797112eceed28e26a28e380c8528c5d4a4fdece5c6c2dc9f4cb43ed36955b">

    <div class="view-header">
    <h1>Arbitration Awards Online</h1>
    <div class="header_sort_aao"> <b>Sort: </b> Most Relevant I <a
href="https://www.finra.org/arbitration-mediation/arbitration-awards-
online?aao_radios=all&field_case_id_text=&search=17-
01857&field_forum_tax=All&field_special_case_type_tax=All&field_core_
official_dt%5Bmin%5D=&field_core_official_dt%5Bmax%5D=&order=field_cor

```

e_official_dt&sort=DESC" data-toggle="tooltip" data-placement="top" title="Sort results by date with the most recent first.">Most Recent </div>

<div class="globalAlignRight">Displaying 1 - 1 of 1</div>
</div>

<div class="view-content">
<div class="table-responsive col">
<table class="table views-table views-view-table cols-5">
<thead class="">
<tr>
<th id="view-field-award-document-file-media-table-column" class="views-field views-field-field-award-document-file-media" scope="col">Award Document</th>
<th class="width50 views-field views-field-views-conditional-field-7" id="view-views-conditional-field-7-table-column" scope="col">Case Summary</th>
<th id="view-field-document-type-tax-table-column" class="views-field views-field-field-document-type-tax" scope="col">Document Type</th>
<th id="view-field-forum-tax-table-column" class="views-field views-field-field-forum-tax" scope="col">Forum</th>
<th class="width12 views-field views-field-field-core-official-dt" id="view-field-core-official-dt-table-column" scope="col">Date of Award</th>
</tr>
</thead>
<tbody>
<tr>
<td headers="view-field-award-document-file-media-table-column" class="views-field views-field-field-award-document-file-media">17-01857 </td>
<td headers="view-views-conditional-field-7-table-column" class="views-field views-field-views-conditional-field-7"><div class="push-down-15">
<div>Claimant(s): IRA of Jonathan M. Seltzer, IRA of Susan O. Seltzer, SEP IRA of Jonathan M. Seltzer, Rev Trust of Jonathan M. Seltzer, Rev Trust of Susan O. Seltzer</div>
<div>Claimant Representative(s): Jonathan and Susan Seltzer </div>
<div>Respondent(s): U.S. Bancorp Investments, Inc. </div>
Respondent Representative(s): Shawn Larsen Bright
</div>
<div>
<div>Neutral(s): Ilene T. Gormly, Tina Alison Davis, Rick Gale Doty </div>
<div>Hearing Site: Denver, CO</div>
</div>

```

        </td>
        <td headers="view-field-
document-type-tax-table-column" class="views-field views-field-field-document-type-
tax">Award        </td>
        <td headers="view-field-forum-
tax-table-column" class="views-field views-field-field-forum-tax">FINRA        </td>
        <td headers="view-field-core-
official-dt-table-column" class="views-field views-field-field-core-official-dt">09/05/2018
    </td>
    </tr>
</tbody>
</table>
</div>

```

```

</div>

```

```

    </div>
</div>

```

```

    </div>
</div>

```

```

    </section>
</main>

```

```

</div>
</div>
</div>

```

```

<div id = "article-columns" class="adjustable-columns">
    </div>
<footer id="FINRA_footer" class="site-footer">
    <div class="container-fluid">
        <div class="finra-container">
            <div class ="row">
                <section class="col col-4 region region-footer-first">
                    <a href="/" title="Home" rel="home" class="navbar-brand">
                        
                    </a>
                    <nav role="navigation" aria-labelledby="block-finramainnavigation-3-menu" id="block-
finramainnavigation-3" data-block-plugin-id="system_menu_block:finra-main-navigation"
class="block block-menu navigation menu--finra-main-navigation">

```

<h2 class="sr-only" id="block-finramainnavigation-3-menu">FINRA Main Navigation</h2>

```

        <ul block="block-finramainnavigation-3" class="clearfix nav navbar-
nav">
            <li class="nav-item menu-item--collapsed">
                <a href="/rules-guidance" class="nav-link" data-drupal-link-system-
path="node/105256">Rules & Guidance</a>
            </li>
            <li class="nav-item menu-item--collapsed">
                <a href="/registration-exams-ce" class="nav-link" data-drupal-link-system-
path="node/126826">Registration, Exams & CE</a>
            </li>
            <li class="nav-item menu-item--collapsed">
                <a href="/events-training" class="nav-link" data-drupal-link-system-
path="node/105306">Events & Training</a>
            </li>
            <li class="nav-item menu-item--collapsed">
                <a href="/filing-reporting" class="nav-link" data-drupal-link-system-
path="node/135036">Filing & Reporting</a>
            </li>
            <li class="nav-item menu-item--collapsed">
                <a href="/compliance-tools" class="nav-link" data-drupal-link-system-
path="node/136611">Compliance Tools</a>
            </li>
            <li class="nav-item menu-item--collapsed menu-item--active-trail">
                <a href="/investors" class="nav-link active" data-drupal-link-system-
path="node/126766">For Investors</a>
            </li>
        </ul>

```

```

</nav>
<nav role="navigation" aria-labelledby="block-finrautilitymenu-2-menu" id="block-
finrautilitymenu-2" data-block-plugin-id="system_menu_block:finra-utility-menu"
class="block block-menu navigation menu--finra-utility-menu">

```

<h2 class="sr-only" id="block-finrautilitymenu-2-menu">FINRA Utility Menu</h2>

```

        <ul block="block-finrautilitymenu-2" class="clearfix nav navbar-nav">
            <li class="nav-item menu-item--collapsed">
                <a href="/about" class="nav-link" data-drupal-link-system-
path="node/135106">About FINRA</a>
            </li>
            <li class="nav-item menu-item--collapsed">

```

```

        <a href="/careers" class="nav-link" data-drupal-link-system-
path="node/135166">Careers</a>
    </li>
    <li class="nav-item menu-item--collapsed">
        <a href="/media-center" class="nav-link" data-drupal-link-system-
path="node/136031">Media Center</a>
    </li>
    <li class="nav-item">
        <a href="/contact-finra" class="nav-link" data-drupal-link-system-
path="node/135416">Contact Us</a>
    </li>
    <li class="nav-item">
        <a href="https://brokercheck.finra.org" class="nav-link">BrokerCheck</a>
    </li>
</ul>

```

```
</nav>
```

```
</section>
```

```

    <div class="col-lg-8 col-md-6 finra-contacts">
        <div class="row">
            <section class="row region region-footer-highlight">
                <div id="block-footerhighlight" data-block-plugin-id="block_content:13129ca4-9a12-
445a-8240-396c465d4de4" class="block block-block-content block-block-
content13129ca4-9a12-445a-8240-396c465d4de4">

```

```
<div class="content">
```

```

    <div class="clearfix text-formatted field field--name-body field--type-text-with-
summary field--label-hidden field__item"><div>
<div class="highlight-text">
<p><a class="footer-link" href="/arbitration-mediation">ARBITRATION &
MEDIATION</a></p>
<span>FINRA operates the largest securities dispute resolution forum in the United
States</span></div>

```

```

<div class="btn learn-more-btn"><a class="footer-link" href="/arbitration-
mediation"><span>Learn More</span></a></div>
</div>
</div>

```

```
</div>
```

```
</div>
```

```
</section>
```



```

    </div>
    <div class="row">
      <section class="col-lg-5 col-md-12 col-sm-12 region region-footer-second">
        <div id="block-footercontacts1" data-block-plugin-id="block_content:c0b288c4-fa43-4f28-869e-1e7dbba541f9" class="block block-block-content block-block-contentc0b288c4-fa43-4f28-869e-1e7dbba541f9">

          <div class="content">

            <div class="clearfix text-formatted field field--name-body field--type-text-with-summary field--label-hidden field__item"><div>
              <p><a class="footer-link" href="/investors/have-a-problem/helpline-seniors">Securities Helpline for Seniors<sup>®</sup></a></p>
              <span>844-574-3577 (Mon-Fri 9am-5pm EST)</span></div>

            <div>
              <p><a class="footer-link" href="/contact-finra/whistleblower">Whistleblower Tip Line</a></p>
              <span>866-96-FINRA or <a href="/cdn-cgi//email-protection#1166797862657d74737d7e6674635177787f63703f7e6376"><span class="__cf_email__" data-cfemail="7106191802051d14131d1e0614033117181f03105f1e0316">[email&#160;protected]</span></a></span></div>

            <div>
              <p><a class="footer-link" href="/about/office-ombudsman">Office of the Ombudsman</a></p>
              <span>Report a concern about FINRA at 888-700-0028</span></div>
            </div>

          </div>
        </div>

      </section>

      <section class="col-lg-5 col-md-12 col-sm-12 region region-footer-third">
        <div id="block-footercontacts2" data-block-plugin-id="block_content:0d011e02-69eb-47fd-994a-587fbeb7b81e" class="block block-block-content block-block-content0d011e02-69eb-47fd-994a-587fbeb7b81e">

          <div class="content">

            <div class="clearfix text-formatted field field--name-body field--type-text-with-summary field--label-hidden field__item"><div>
              <p><a class="footer-link" href="/investors/have-a-problem/file-complaint">Investor Complaint Center</a></p>

```

File a complaint about fraud or unfair practices.</div>

<div>

<p>Small Firm Help Line</p>

833-26-FINRA (Mon-Fri 9am-5pm ET)</div>

<div>

<p>File a Regulatory Tip</p>

To report on abuse or fraud in the industry</div>

</div>

</div>

</div>

</section>

</div>

<div class="row finra-legal">

<section class="col-lg-5 col-md-12 col-sm-12 region region-footer-fourth">

<nav role="navigation" aria-labelledby="block-footerlegallinks-menu" id="block-footerlegallinks" data-block-plugin-id="system_menu_block:footer-legal-links" class="block block-menu navigation menu--footer-legal-links">

<h2 class="sr-only" id="block-footerlegallinks-menu">Footer Legal Links</h2>

<ul block="block-footerlegallinks" class="clearfix nav navbar-nav">

<li class="nav-item">

Site Map

<li class="nav-item">

Privacy Policy

<li class="nav-item">

Terms of Use

</nav>

</section>

<section class="row col-lg-5 col-md-12 col-sm-12 region region-footer-fifth">

```
<nav role="navigation" aria-labelledby="block-footerlegal2-menu" id="block-
footerlegal2" data-block-plugin-id="system_menu_block:footer-legal-2" class="block
block-menu navigation menu--footer-legal-2">
```

```
<h2 class="sr-only" id="block-footerlegal2-menu">Footer Legal 2</h2>
```

```

      <ul block="block-footerlegal2" class="clearfix nav navbar-nav">
        <li class="nav-item">
          <a href="/contact-finra" class="nav-link" data-drupal-link-system-
path="node/135416">Contact</a>
        </li>
      </ul>

```

```
</nav>
<div id="block-footerphonenumber" data-block-plugin-id="block_content:98025dd1-8f22-
479c-b7c7-74a09ba63883" class="block block-block-content block-block-
content98025dd1-8f22-479c-b7c7-74a09ba63883">
```

```
<div class="content">
```

```

  <div class="clearfix text-formatted field field--name-body field--type-text-with-
summary field--label-hidden field__item"><p>301-590-6500</p></div>

```

```

</div>
</div>

```

```
</section>
```

```

  </div>
  <div class="row">
    <section class="col-lg-5 order-lg-12 order-md-1 order-sm region region-
footer-sixth">
      <div id="block-finrasociallinks" data-block-plugin-id="block_content:79395185-afca-
4832-b562-50b574a57497" class="block block-block-content block-block-
content79395185-afca-4832-b562-50b574a57497">

```

```
<div class="content">
```

```

  <div class="clearfix text-formatted field field--name-body field--type-text-with-
summary field--label-hidden field__item"><p><a
href="https://www.twitter.com/finra"><span class="fontawesome-icon-inline"><span
class="fa-2x fa-inverse fa-twitter fab"></span></span></a> <a
href="https://www.linkedin.com/company/finra/"><span class="fontawesome-icon-
inline"><span class="fa-2x fa-inverse fa-linkedin fab"></span></span></a> <a

```

href="https://www.facebook.com/FinancialIndustryRegulatoryAuthority/"> </p></div>

</div>

</div>

</section>

<section class="col-lg-7 order-lg-1 order-md-12 order-sm region region-footer-seventh">

<div id="block-finracopyright" data-block-plugin-id="block_content:150cdc5c-6b33-477b-95ac-565605bddbb3" class="block block-block-content block-block-content150cdc5c-6b33-477b-95ac-565605bddbb3">

<div class="content">

<div class="clearfix text-formatted field field--name-body field--type-text-with-summary field--label-hidden field__item"><p>©2021 FINRA. All Rights Reserved.</p>

<p>FINRA IS A REGISTERED TRADEMARK OF THE FINANCIAL INDUSTRY REGULATORY AUTHORITY, INC.</p>

</div>

</div>

</div>

</section>

</div>

</div>

</div>

</div>

</div>

</footer>

</div>

</div>

</div>

```

<script data-cfasync="false" src="/cdn-cgi/scripts/5c5dd728/cloudflare-static/email-
decode.min.js"></script><script type="application/json" data-drupal-selector="drupal-
settings-
json">{"path":{"baseUrl":"","scriptPath":null,"pathPrefix":"","currentPath":"arbitration-
mediationVarbitration-awards-
online","currentPathIsAdmin":false,"isFront":false,"currentLanguage":"en","currentQuery":
{"aao_radios":"all","field_case_id_text":"","field_core_official_dt":{"min":"","max":""},"field_
forum_tax":"All","field_special_case_type_tax":"All","search":"17-
01857"}},{"pluralDelimiter":"\u0003","suppressDeprecationErrors":true,"ajaxPageState":{"li
braries":{"anchor_linkVpopup,better_exposed_filtersVauto_submit,better_exposed_filters\
/datepickers,better_exposed_filtersVgeneral,bootstrap_barrioVbreadcrumb,bootstrap_ba
rrioVform,bootstrap_barrioVgesta_opensans,bootstrap_barrioVglobal-
styling,chosenVdrupal.chosen,chosen_libVchosen.css,coreVhtml5shiv,coreVjquery.ui.dat
epicker,finra_bootstrap_sassVaaoRadio,finra_bootstrap_sassVgesta,finra_bootstrap_sa
ssVopensans,finra_bootstrap_sassVsearchButton,finra_bootstrap_sassVsuperfishFix,finr
a_solrsearchVsearchViews,fontawesomeVfontawesome.webfonts.shim,superfishVsuperf
ish,superfishVsuperfish_style_blue,superfishVsuperfish_supersubs,superfishVsuperfish_
supposition,systemVbase,viewsVviews.module","theme":"finra_bootstrap_sass","theme_t
oken":null},"ajaxTrustedUrl":{"Varbitration-mediationVarbitration-awards-
online":true,"Vsearch":true},"superfish":{"superfish-finra-homepage-nav-w-
megame":{"id":"superfish-finra-homepage-nav-w-
megame","sf":{"animation":{"opacity":"show","height":"show"},"speed":"slow","autoArrows
":false,"disableHI":true},"plugins":{"supposition":true,"supersubs":true}}},"elasticSearch":{"
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